

02-15-02

UTILITY  
PATENT APPLICATION  
TRANSMITTAL

Attorney Docket No.

500803.02

February 13, 2002

First Inventor or Application Identifier

Michael Nuttall

Title

METHOD FOR ENHANCING VERTICAL GROWTH  
DURING THE SELECTIVE FORMATION OF SILICON  
AND STRUCTURES FORMED USING SAME

(Only for nonprovisional applications under 37 CFR § 1.53(b))

Express Mail Label No.

EL 872041338 US

## APPLICATION ELEMENTS

See MPEP chapter 600 concerning utility patent application contents.

## ADDRESS TO:

Box Patent Application  
Commissioner of Patents  
Washington, D.C. 202311. ☒ Fee Transmittal Sheet (+ copy)  
(Submit an original and a duplicate for fee processing)2. ☐ Applicant(s) Claim(s) Small Entity Status3. ☒ Specification [Total Pages] **15**  
(preferred arrangement set forth below)

- Descriptive Title of the Invention
- Cross References to Related Applications
- Statement Regarding Fed sponsored R & D
- Reference to Microfiche Appendix
- Background of the Invention
- Brief Summary of the Invention
- Brief Description of the Drawings (if filed)
- Detailed Description
- Claim(s)
- Abstract of the Disclosure

4. ☒ Drawing(s) (35 USC 113) [Total Sheets] **2**5. ☒ Oath or Declaration [Total Pages] **2**a. ☐ Newly executed (original or copy)b. ☒ Copy from a prior application (37 CFR 1.63(d))  
(for continuation/divisional with Box 18 completed)

- i. ☐ DELETION OF INVENTOR(S)  
Signed statement attached deleting  
inventor(s) named in the prior application,  
see 37 CFR 1.63(d)(2) and 1.33(b)

6. ☒ Application Data Sheet (37 C.F.R. 1.76)7. ☐ CD-ROM or CD-R in duplicate, large table or Computer  
Program (Appendix)8. ☐ Nucleotide and/or Amino Acid Sequence Submission  
(if applicable, all necessary)a. ☐ Computer-Readable Form (CRF)b. ☐ Specification Sequence Listing on:  
i. ☐ CD-ROM or CD-R (2 copies); or  
ii. ☐ paperc. ☐ Statement verifying identity of above copies

## ACCOMPANYING APPLICATION PARTS

9. ☐ Certification Under 35 U.S.C. 122(b)(2)(B)(i)10. ☐ Assignment Papers (cover sheet & document(s))11. ☐ 37 CFR 3.73(b) Statement ☐ Power of Attorney  
(when there is an assignee)12. ☐ English Translation Document (if applicable)13. ☒ Preliminary Amendment Total Pages **11**14. ☒ Return Receipt Postcard15. ☐ Information Disclosure Statement (IDS)/PTO-1449 ☐ Copies of IDS Citations16. ☐ Certified Copy of Priority Document(s)  
(if foreign priority is claimed)17. ☒ Other: Certificate of Express Mail  
Check; Copy of Election & POA

18. If a CONTINUING APPLICATION, check appropriate box and supply the requisite information below and in a preliminary amendment

☐ Continuation ☒ Divisional ☐ Continuation-In-Part (CIP) of prior Application No.: 09/770,909 Filed January 26, 2001Prior application information: Examiner David VuGroup / Art Unit 2818☒ Incorporation By Reference (useable if box 5b is checked)

The entire disclosure of the prior application, from which a copy of the oath or declaration is supplied under Box 5b, is considered to be part of the disclosure of the accompanying application and is hereby incorporated by reference therein.

## CORRESPONDENCE ADDRESS

Paul F. Rusyn, Esq.  
Dorsey & Whitney LLP  
1420 Fifth Avenue, Suite 3400  
Seattle, Washington 98101-4010  
(206) 903-8800 phone  
(206) 903-8820 fax

Customer No. 27,076

TYPED or PRINTED NAME Paul F. RusynREGISTRATION NO. 42,118SIGNATURE Paul F. RusynDate 13 Feb '02

# FEE TRANSMITTAL SHEET (FOR FY 2001)

*Complete if Known*

Express Mail No.	EL 872041338 US
Filing Date	Concurrently Herewith
First Named Inventor	Michael Nuttall
Group Art Unit	Not Yet Assigned
Examiner	Not Yet Assigned
Atty. Docket Number	500803.02

## METHOD OF PAYMENT (Check One)

1. ☒ The Commissioner is hereby authorized to charge any additional fee required under 37 C.F.R. §§ 1.16 and 1.17 and 1.136(a)(3) and credit any over payments to Deposit Account No.: 50-1266; Deposit Account Name: DORSEY & WHITNEY LLP

2. ☒ Check Enclosed

## FEE CALCULATION

### 1. BASIC FILING FEE

Large Entity		Small Entity		Fee Description
Fee Code	Fee (\$)	Fee Code	Fee (\$)	
101	740	201	370	<input checked="" type="checkbox"/> Utility Filing Fee
106	330	206	165	<input type="checkbox"/> Design Filing Fee
108	740	208	370	<input type="checkbox"/> Reissue Filing Fee
114	160	214	80	<input type="checkbox"/> Provisional Filing Fee
<b>Subtotal (1)</b>				<b>\$ 740</b>

### 2. EXTRA CLAIM FEES

Current Claims	Prior	Extra	Fee	Fee Paid
Total	22	- 20 = 2	x \$ 18 =	\$ 36
Ind	2	- 3 = 0	x \$ =	\$ 0
Multiple Dependent Claims				x \$ = \$
<b>Subtotal (2)</b>				<b>\$ 36</b>

Large Entity		Small Entity		Fee Description
Fee Code	Fee (\$)	Fee Code	Fee (\$)	
103	18	203	9	Claims in excess of 20
102	84	202	42	Independent claims in excess of 3
104	280	204	140	Multiple dependent Claim
109	80	209	40	Reissue independent claims over original patent
110	18	210	9	Reissue claims in excess of 20 and over original patent

## FEE CALCULATION (Continued)

### 3. ADDITIONAL FEES

Large Entity		Small Entity		Fee Description	Fee paid
Fee Code	Fee (\$)	Fee Code	Fee (\$)		
105	130	205	65	Surcharge - Late filing fee or oath	\$
127	50	227	25	Surcharge - late provisional filing fee or cover sheet	\$
139	130	139	130	Non-English specification	\$
147	2,520	147	2,520	For Filing a Request for Reexamination	\$
195	300	196	300	Publication (early or Republication)	\$
115	110	215	55	Extension for reply within first month	\$
116	400	216	200	Extension for reply within 2 <sup>nd</sup> month	\$
117	920	217	460	Extension for reply within 3 <sup>rd</sup> month	\$
118	1,440	218	720	Extension for reply within 4 <sup>th</sup> month	\$
128	1,960	280	980	Extension for reply within 5 <sup>th</sup> month	\$
120	320	220	160	Filing a brief in support of an appeal	\$
121	280	270	140	Request for oral hearing	\$
148	110	248	55	Terminal Disclaimer Fee	\$
140	110	240	55	Petition to revive - unavoidable	\$
141	1,280	241	640	Petition to revive - unintentional	\$
142	1,280	242	640	Utility/Reissue issue fee (+ advance copies)	\$
143	460	243	230	Design issue fee (+ advance copies)	\$
122	130	122	130	Petitions to the Commissioner	\$
123	50	123	50	Petitions related to provisional applications	\$
126	180	126	180	Submission of IDS	\$
581	40	81	40	Recording each patent assignment per property (times number of properties)	\$
179	740	279	370	Request for Continued Examination (RCE)	\$
Other fee (specify)					\$
<b>Subtotal (3)</b>					<b>\$0</b>
<b>Total Amount of Payment:</b>					<b>\$776</b>

Submitted by:

Name: Paul F. Rusyn

Reg. No.: 42,118

Telephone: (206) 903-8800

Signature:

Date:

PATENT

**IN THE UNITED STATES PATENT AND TRADEMARK OFFICE**

Applicants : Michael Nuttall and  
Garry Anthony Mercaldi

Attorney Docket No.: 500803.02

Filed : February 13, 2002

Title : METHOD FOR ENHANCING VERTICAL GROWTH DURING THE  
SELECTIVE FORMATION OF SILICON, AND STRUCTURES FORMED  
USING SAME

---

**CERTIFICATE OF MAILING BY "EXPRESS MAIL"**

BOX PATENT APPLICATION

•Commissioner for Patents  
Washington, DC 20231

Sir:

I hereby certify that the enclosures listed below are being deposited with the United States Postal Service "EXPRESS MAIL Post Office to Addressee" service under 37 C.F.R. § 1.10, Mailing Label Certificate No. EL 872041338 US, on February 13, 2002, addressed to Box Patent Application, Commissioner for Patents, Washington, DC 20231.

Respectfully submitted,  
DORSEY & WHITNEY LLP

  
/ for West Courier

PFR:asw

Enclosures:

Postcard  
Check  
PTO/SB/05 Utility Patent Application Transmittal  
Application Data Sheet  
Fee Transmittal Sheet (+ copy)  
General Authorization  
Preliminary Amendment  
Specification, Claims, Abstract (15 pages)  
2 Sheets of Drawings (Figures 1-3)  
Copy of Declaration  
Copy of Election and Power of Attorney

PATENT

**IN THE UNITED STATES PATENT AND TRADEMARK OFFICE**

Applicants : Michael Nuttall and  
Garry Anthony Mercaldi

Attorney Docket No.: 500803.02

Filed : Concurrently Herewith

Title : METHOD FOR ENHANCING VERTICAL GROWTH DURING THE SELECTIVE  
FORMATION OF SILICON, AND STRUCTURES FORMED USING SAME

---

**GENERAL AUTHORIZATION**

Box Patent Application  
Commissioner of Patents  
Washington, D.C. 20231

Sir:

With respect to the above-identified application, the Commissioner is authorized to charge any fees under 37 C.F.R. §§ 1.16 and 1.17 which may be required and to treat any concurrent or future reply requiring a petition for an extension of time under 37 C.F.R. § 1.136(a)(3) for its timely submission as incorporating a petition therefor for the appropriate length of time and to charge any fees which may be required during the course of prosecution, or credit any overpayment, to Deposit Account No. 50-1266.

Date

13 Feb '02

  
Paul F. Rusyn  
Registration No. 42,118

PFR:asw

1420 Fifth Avenue, Suite 3400  
Seattle, WA 98101-4010  
(206) 903-8800  
Fax (206) 903-8820